

ASTHMA PROGRAM/CHRONIC DISEASE AND INJURY
SECTION

North Carolina Division of Public Health

Grants Monitoring Plan

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CHRONIC DISEASE AND INJURY SECTION/DIVISION OF PUBLIC HEALTH

Grants Monitoring Plan

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PROGRAM OVERVIEW

The North Carolina Asthma Program seeks to reduce the burden of asthma across our state through public awareness, capacity building, education, leadership, and administration of asthma-related activities and interventions. In September 2007, as part of an "Addressing Asthma from a Public Health Perspective" grant from the Centers for Disease Control and Prevention (CDC), the Asthma Program received funding to make grant awards to six lead local health departments (LHDs)/health districts. In January 2008, these grants were awarded to six lead LHDs/health districts for the Enhancing Local Asthma Efforts (ELAE) Project. These selected LHDs/health districts are the leaders for their designated region on a series of activities designed to enhance the efforts of local asthma coalitions and community workgroups and to increase community capacity for addressing asthma. The N.C. Asthma Program is responsible for the administration of these grant funds. The Asthma Program Supervisor coordinates and oversees this project.

Monitoring Frequency and Type

The Department of Health and Human Services, Division of Public Health, Chronic Disease and Injury Section, Asthma Program expects to monitor grants at several key phases of the grant's life cycle.

Pre-Award Assessment: The initial monitoring will begin with a pre-award assessment of the prospective grantee's abilities and resources to be applied to the grant for the purpose of determining whether the grantee can adequately provide the services demanded by the grant.

Periodic Monitoring: On-going monitoring will be conducted during the life of the grant. Techniques to be used will consist of mid-term and final grant period written reports from the grantee, on-site visits (announced), monthly conference calls with project coordinators, email correspondence, and, if applicable, on-line review of grant data. The Asthma Program Supervisor will conduct at least one on-site visit with each of the grantees prior to August 31, 2008. Mid-term progress reports were submitted to the Asthma Program Supervisor by March 15, 2008. Final grant reports are due to the Program Supervisor by the end of the service period. Monthly progress check/communication conference calls with project coordinators and representatives are held during the second Tuesday of each month of the service period. The program will comply with OMB A-133 in overseeing subrecipient activities.

Completion of Grant: A final review of grant activities and accomplishments and spending will be conducted at the completion of the grant.

The above monitoring will be accomplished through various means based on the needs of the individual grant.

Monitoring Frequency Matrix

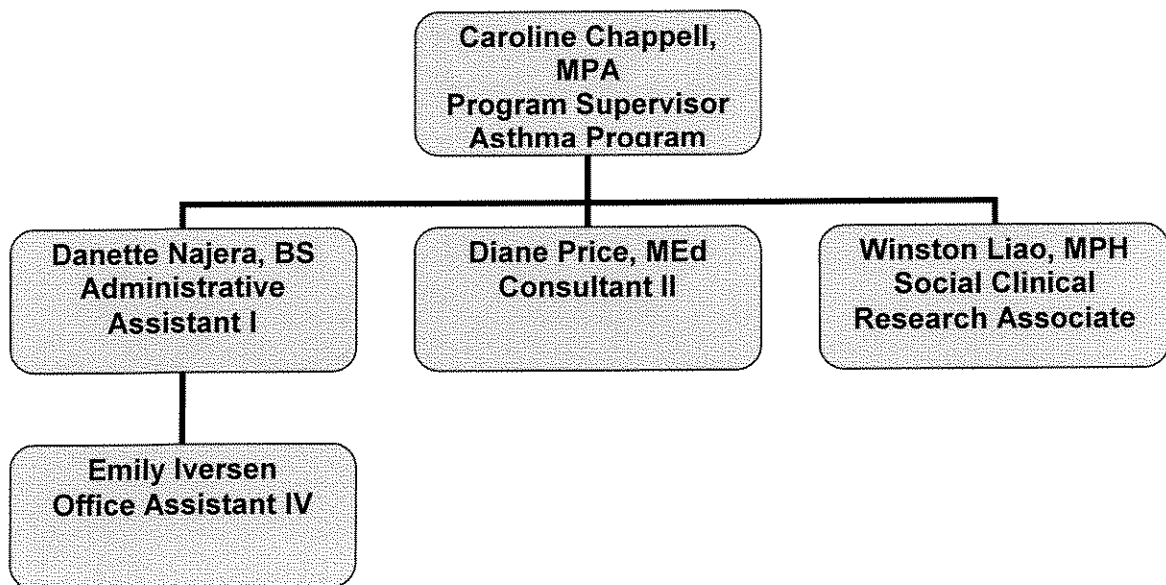
The Asthma Program conducts multi-level monitoring involving key staff members. The following matrix shows the staff, current contracts, type and frequency of monitoring provided by the Asthma program based on the key phases of the grant's life cycle.

Contracts	Type of Monitoring	Frequency	Staff ¹
Enhancing Local Asthma Efforts Project	<i>Pre-award</i>		
	<ul style="list-style-type: none"> • Program compliance • Funds available 	Grant Period	CC, DN CC, DN
	<i>Periodic Monitoring</i>		
	<ul style="list-style-type: none"> • Telephone contact • Site visit 	Monthly Once per period	CC CC
	<ul style="list-style-type: none"> • Program evaluation progress reports • Fiscal compliance • Technical assistance 	End of grant report Throughout year Throughout year	CC, WL CC, DN CC, WL, DN, DP
	<ul style="list-style-type: none"> • Email 	As needed	CC
	<i>Completion of Grant</i>		
	<ul style="list-style-type: none"> • Program compliance • Fiscal compliance • Evaluation summary 	End of grant report	CC, WL, DN

¹CC=Caroline Chappell, DN=Danette Najera, WL=Winston Liao, DP=Diane Price

Reporting Structure—Staffing and Scheduling

Reporting Structure: Monitoring staff will report through the organizational chart shown below. If any problems arise with a grant, the monitor should immediately communicate that information to his/her direct supervisor. The communication should be written and a copy of the document placed in the grantee's monitoring file. Once problem issues have been identified and communicated to the supervisor, it is his/her responsibility to determine the course of action the monitor should take.



Scheduling: On-site visits for ELAE lead local health departments/health districts for the following dates/times:

- Albemarle Regional Health Services – Wednesday, July 30, 2008
- Caldwell County Health Department – Wednesday, May 21, 2008
- Cleveland County Health Department - TBD
- Davidson County Health Department - TBD
- Harnett County Health Department – Wednesday, June 18, 2008
- New Hanover County Health Department – Friday, June 13, 2008

Prior to each scheduled site visit, the monitor will contact each grantee regarding topics for discussion and any documents that the grantee should prepare. At the site visit, the monitor administers the attached Site Visit Worksheet (Attachment II), along with a list of questions and action items prepared for each additional grantee. Upon the completion of the site visit, the monitor will complete the Site Visit Worksheet and prepare a site visit report, detailing satisfactory activities and activities requiring further exploration or technical assistance.

Signs of risk or risk factors to alert monitoring staff to issues with grantees include, but are not limited to: 1) grantee staff experience/competence; 2) number of transactions; 3) prior problems; 4) recipient stability; 5) geographic problems; 6) new programs, etc.

Other sources of information that might alert monitoring staff that there may be issues include, but are not limited to:

- Recent project conference call participation
- Email and phone correspondence with grantees
- Information from other sources
- Results of follow-up activities

Documentation and Analysis

Monitoring Records: Each monitor is expected to fully and accurately document all monitoring efforts. A monitoring file should be maintained for each grantee. Items that should be in that file include but not limited to:

- ☐ Pre-award assessment checklist
- ☐ Individual grant monitoring plan worksheet
- ☐ Periodic progress reports from grantee (see Attachment I for Mid-term report template; final report template will be sent near the conclusion of the project period)
- ☐ Desk review monitoring report
- ☐ On-site visit report (see Attachment II for Site Visit Worksheet)
- ☐ Telephone contact report
- ☐ Assistance report
- ☐ Corrective action plan
- ☐ Annual reports checklist
- ☐ Copies of e-mail, memos, or other written correspondence with grantee, including notification informing grantee of the results of monitoring

Note: Unless noted as an attachment, the tools from the division plan are used for other monitoring-related activities mentioned in this plan.

Documentation from all on-site visits, grant reports, phone calls, and email correspondence is stored in the contract administrator's office.

Attachment I

**Enhancing Local Asthma Efforts Grant Initiative
Progress Report**

Local Health Department / Health District Name:
Report Prepared By:

Interventions/Current Status

(Describe in detail the current status of all objectives included in your Agreement Addenda. Use the following format:

- A. List the objective
- B. Status (Met, Ongoing, Unmet)
- C. Description of all activities relating to the objective)

Barriers

(Please list and describe any barriers/challenges that you have encountered during the initial months of this project. How did you address and work to overcome these barriers?)

Contacts with Coalitions/Workgroups Across Region

(Please list contacts made with coalitions/workgroups outside of your county for the purpose(s) of notification of workshops/trainings; providing descriptions of project information; etc.)

Budget Report

(Please provide an estimate of your expenditures for January 2008 – March 15, 2008. Use the same categories included in your grant application)

****Also, please be sure that you have provided the NC Asthma Program (c/o Caroline Chappell) with a copy of all sign-in sheets, agendas, and presentation information from all workshops/trainings that you have conducted.**



Attachment II - Grants Monitoring Site Visit Worksheet

Instructions: Each site visit should be documented using this worksheet. The monitor should indicate the reasons for the site visit, whether planned or unannounced, review data prior to the visit, and note any issues identified during the visit. If problems are noted, then this worksheet should be used to prepare a report to the monitor's supervisor for action.

Grantee:		Grant #:	
Date:		Time:	
Location:			
Monitor:			
Reason for Visit:			
Prior to Site Visit			
Announced Visit		Unannounced Visit	
Actions Taken	Were Actions Completed?	Actions Taken	Were Actions Completed?
Notify recipient point of contact		Define objectives of visit, including documents to review	
Discuss objectives for visit, including document(s) to review		Review Grant File	
Review Grant File		Determine Issues to Discuss	
Determine Issues to Discuss			
During Site Visit			
Announced Visit		Unannounced Visit	
Actions Taken	Were Actions Completed?	Actions Taken	Were Actions Completed?
Conduct entrance discussion with officials		Conduct entrance discussion with officials	
Observe project activities		Observe project activities	
Review program and financial records (see following pages for checklist)		Review program and financial records (see following pages for checklist)	
1. Compare to submitted reports		1. Compare to submitted reports	
2. Document differences		2. Document differences	
Other		Other	
Issues for Follow-up:			
After Site Visit			
Announced Visit		Unannounced Visit	
Actions Taken	Were Actions Completed?	Actions Taken	Were Actions Completed?
Prepare Report		Prepare Report	
Document findings, whether positive or negative		Document findings, whether positive or negative	
Review and adjust monitoring plan if necessary		Review and adjust monitoring plan if necessary	
Other		Other	
Actions taken:			

Attachment II - Grants Monitoring Site Visit Worksheet

Site Visit Financial Records Review Checklist			
	Yes	No	Comments
1. Internal Controls			
All expenditures made under grant are approved by the grantee program manager or someone who is familiar with the approved grant application and with the cost principles (A-87 and A-122).			
The grantee program manager approves only those expenditures that are: for activities approved in the budget and are allowable under the cost principles.			
Controls are in place that insure grant funds are available sufficient to cover expenditures.			
There is an accounting record for each grant received.			
Expenditures are posted to the accounting record as they occur.			
The accounting record tracks expenditures against the approved budget.			
Post-award changes in a grant budget have been approved by the funding agency and the budget has been adjusted in the accounting record.			
Required reports are filed within the established time frames.			
Documentation sufficient to determine the nature of grant expenditures and their allowability is kept as a part of the financial record.			
2. Use of Grant Funds			
Grant funds are not used to purchase land or buildings or improve land or buildings unless there is prior approval from the funding agency and it is allowable under grant terms.			
Special purpose equipment (an article costing more than \$5,000) that is required to address specific grant objectives and that has been purchased with grant funds has been purchased in accordance with organizational policy insuring competitive prices.			
Grant funds are not used to purchase general purpose equipment (articles costing more than \$5,000 and used for the general functions of the organization) such as office equipment and furnishings, telephone networks, information technology equipment and systems, air conditioning, reproduction and printing equipment and motor vehicles unless it is specifically identified as an allowable expenditure or there is prior approval from the awarding agency.			
If the grantee passes funds on to another organization, it is clear that it sub-grants these funds.			
A sub-grant award is on file that clearly identifies the activities supported by the subgrant, a budget, the assurances/requirements that accompany federal funds, and payment provisions.			
The grantee monitors its sub-grantee for compliance with the conditions of the sub-grant award.			
3. Supplies and Materials			
Supplies and materials are charged to the grant in allowable fashion as approved in the budget.			
Only supplies and materials actually used for the grant objectives are charged as direct costs			

Attachment II - Grants Monitoring Site Visit Worksheet

5. Services and Reimbursable Costs			
Only allowable services supporting grant objectives are charged as direct costs of the grant as approved in the budget.			
The costs for travel, meals, conferences, training, and other incidental costs conform to cost principles and the organization's policies limiting these costs. Documentation includes the content of the event to which these costs are incidental and participants.			
Travel costs, including transportation, lodging, subsistence, and other costs associated with travel status, are charged to the grant when travel is essential for carrying out grant objectives and when costs do not exceed charges allowed by the organization in its normal operations.			
Costs identified as unallowable by federal circular, statute, regulation, or prohibited by the grant agreement are not charged to the grant.			
6. Records Retention			
Financial records, supporting documents, statistical records, and all other records pertinent to grant are retained for a period of three years after the submission of the final expenditure report, the required annual reports, or the record was used in response to an audit finding			
Site Visit Program Records Review Checklist			
List Documents Reviewed	Comments		
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			